

ANNUAL SYNAR REPORT

42 U.S.C. 300x-26

OMB № 0930-0222

FFY 2010

State: RI



U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Substance Abuse and Mental Health Services Administration
Center for Substance Abuse Prevention
www.samhsa.gov

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INTRODUCTION

The Annual Synar Report (ASR) format provides the means for States to comply with the reporting provisions of the Public Health Service Act (42 U.S.C. 300x-26) and the Tobacco Regulation for the SAPT Block Grant (45 C.F.R. 96.130 (e)).

Public reporting burden for the collection of information is estimated to average 15 hours for Section I and 3 hours for Section II, including the time for reviewing instructions, completing and reviewing the collection of information, searching existing data sources, and gathering and maintaining the data needed. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to SAMHSA Reports Clearance Officer; Paperwork Reduction Project; 1 Choke Cherry Road, 7th Floor Rockville, Maryland 20857.

An agency may not conduct or sponsor and a person is not required to respond to a collection of information unless it displays a currently valid OMB control number. The OMB control number for this project is 0930-0222 with an expiration date of 10-31-2010.

How the Synar report helps the Center for Substance Abuse Prevention

In accordance with the tobacco regulations, States are required to provide detailed information on progress made in enforcing youth tobacco access laws (FFY 2009 Compliance Progress) and future plans to ensure compliance with the Synar requirements to reduce youth tobacco access rates (FFY 2010 Intended Use Plan). These data are required by 42 U.S.C. 300x-26 and will be used by the Secretary to evaluate State compliance with the statute. Part of the mission of the Center for Substance Abuse Prevention (CSAP) is to assist States¹ by supporting Synar activities and providing technical assistance helpful in determining the type of enforcement measures and control strategies that are most effective. This information is helpful to CSAP in improving technical assistance resources and expertise on enforcement efforts and tobacco control program support activities, including State Synar Program support services, through an enhanced technical assistance program involving conferences and workshops, development of training materials and guidance documents, and on-site technical assistance consultation.

How the Synar report can help States

The information gathered for the Synar report can help States describe and analyze sub-State needs for program enhancements. These data can also be used to report to the State legislature and other State and local organizations on progress made to date in enforcing youth tobacco access laws when aggregated statistical data from State Synar reports can demonstrate to the Secretary the national progress in reducing youth tobacco access problems. This information will also provide Congress with a better understanding of State progress in implementing Synar, including State difficulties and successes in enforcing retailer compliance with youth tobacco access laws.

¹The term State is used to refer to all the States and territories required to comply with Synar as part of the Substance Abuse Prevention and Treatment Block Grant Program requirements (42 U.S.C. 300x-64 and 45 C.F.R. 96.121).

Getting assistance in completing the Synar report

If you have questions about programmatic issues, you may call CSAP's Division of State Programs at (240) 276-2413 and ask for your respective State Project Officer, or contact your State Project Officer directly by telephone or e-mail using the directory provided in the FY 2010 Uniform Application, Appendix A. If you have questions about fiscal or grants management issues, you may call the Grants Management Officer, Office of Program Services, Division of Grants Management, at (240) 276-1422.

Where and when to submit the Synar report

The Annual Synar Report (ASR) must be received by SAMHSA no later than December 31, 2009. The ASR must be submitted in the **approved OMB report format**. Use of the approved format will avoid delays in the review and approval process. The chief executive officer (or an authorized designee) of the applicant organization must sign page 1 of the ASR certifying that the State has complied with all reporting requirements.

The State must upload one copy of the ASR using the online WebBGAS (Block Grant Application System). In addition, the following items must be uploaded to WebBGAS:

- FFY 2010 Synar Survey Results: States that use the Synar Survey Estimation System (SSES) must upload one copy of SSES Tables 1-5 (in Excel) to WebBGAS. States that do not use SSES must upload one copy of ASR Forms 1, 4 and 5, and Forms 2 and 3, if applicable, (in Excel) to WebBGAS.
- Synar Inspection Form: States must upload one blank copy of the inspection form used to record the result of each Synar inspection.
- Synar Inspection Protocol: States must upload a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections.

Each State SSA Director has been e-mailed a login ID and password to log onto the Synar section of the WebBGAS site.

Additionally, the State must submit one signed original of the report (including the signed Funding Agreements/Certifications), as well as one additional copy of the signed Funding Agreements/Certifications, to the Grants Management Officer at the address below:

Ms. Barbara Orlando
Grants Management Officer
Office of Program Services
Division of Grants Management
Substance Abuse and Mental Health Services Administration

Regular Mail:

1 Choke Cherry Road, Rm.7-1091
Rockville, Maryland 20857

Overnight Mail:

1 Choke Cherry Road, Rm.7-1091
Rockville, Maryland 20850

FFY 2010: FUNDING AGREEMENTS/CERTIFICATIONS

The following form must be signed by the Chief Executive Officer or an authorized designee and submitted with this application. Documentation authorizing a designee must be attached to the application.

PUBLIC HEALTH SERVICES ACT AND SYNAR AMMENDMENT

42 U.S.C. 300x-26 requires each State to submit an annual report of its progress in meeting the requirements of the Synar Amendment and its implementing regulation (45 C.F.R. 96.130) to the Secretary of the Department of Health and Human Services. By signing below, the chief executive officer (or an authorized designee) of the applicant organization certifies that the State has complied with these reporting requirements and the certifications as set forth below.

SYNAR SURVEY SAMPLING METHODOLOGY

The State certifies that the Synar survey sampling methodology on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2010 is up-to-date and approved by the Center for Substance Abuse Prevention.

SYNAR SURVEY INSPECTION PROTOCOL

The State certifies that the Synar Survey Inspection Protocol on file with the Center for Substance Abuse Prevention and submitted with the Annual Synar Report for FFY 2010 is up-to-date and approved by the Center for Substance Abuse Prevention.

State: RI

Name of Chief Executive Officer or Designee: Craig S. Stenning

Signature of CEO or Designee:

Title: Director, Dept. of Mental Health, Retardation & Hospitals **Date Signed:** 29 December 2009

If signed by a designee, a copy of the designation must be attached.

SECTION I: FFY 2009 (Compliance Progress)

YOUTH ACCESS LAWS, ACTIVITIES, AND ENFORCEMENT

42 U.S.C. 300x-26 requires the States to report information regarding the sale/distribution of tobacco products to individuals under age 18.

- 1. Please indicate any changes or additions to the State tobacco statute(s) relating to youth access since the last reporting year. If any changes were made to the State law(s) since the last reporting year, please attach a photocopy of the law to the hard copy of the ASR and also upload a copy of the State law to WebBGAS. (see 42 U.S.C. 300x-26).**

- a. Has there been a change in the *minimum sale age* for tobacco products?**

☐ Yes ☒ No

If Yes, current minimum age: ☐ 19 ☐ 20 ☐ 21

- b. Have there been any changes in State law that impact the State's *protocol for conducting Synar inspections*? ☐ Yes ☒ No**

If Yes, indicate change. (Check all that apply.)

- ☐ Changed to require that law enforcement conduct inspections of tobacco outlets
☐ Changed to make it illegal for youth to possess, purchase or receive tobacco
☐ Changed to require ID to purchase tobacco
☐ Other change(s) *(Please describe.)* _____

- c. Have there been any changes in the law concerning *vending machines*?**

☐ Yes ☒ No

If Yes, indicate change. (Check all that apply.)

- ☐ Total ban enacted
☐ Banned from location(s) accessible to youth
☐ Locking device or supervision required
☐ Other change(s) *(Please describe.)* _____

- d. Have there been any changes in State law that impact the following?**

Licensing of tobacco vendors ☒ Yes ☐ No

Penalties for sales to minors ☐ Yes ☒ No

- 2. Describe how the Annual Synar Report (see 45 C.F.R. 96.130(e)) and the State Plan (see 42 U.S.C. 300x-51) were made public within the State prior to submission of the ASR. (Check all that apply.)**

- ☐ Placed on file for public review
☒ Posted on a State agency Web site *(Please provide exact Web address.)*
www.mhrh.ri.gov

- ☐ Notice published in a newspaper or newsletter
- ☐ Public hearing
- ☐ Announced in a news release, a press conference, or discussed in a media interview
- ☐ Distributed for review as part of the SAPT Block Grant application process
- ☐ Distributed through the public library system
- ☐ Published in an annual register
- ☐ Other change(s) *(Please describe.)* _____

3. Identify the following agency or agencies *(see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).*

a. The State agency(ies) designated by the Governor for oversight of the Synar requirements:

Dept. of Mental Health, Retardation & Hospitals

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

b. The State agency(ies) responsible for conducting random, unannounced Synar inspections:

Depart. of Mental Health, Retardation & Hospitals

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

c. The State agency(ies) responsible for enforcing youth tobacco access law(s):

Dept. of Mental Health, Retardation & Hospitals

Has this changed since last year's Annual Synar Report? ☐ Yes ☒ No

4. Identify the State agency(ies) responsible for tobacco prevention activities.

Depts. of Mental Health, Retardation & Hospitals and Health

Has the responsible agency changed since last year's Annual Synar Report?

☐ Yes ☒ No

a. Describe the coordination and collaboration that occur between the agency responsible for tobacco prevention and the agency responsible for oversight of the Synar requirements. (Check all that apply.) The two agencies

- ☐ Are the same
- ☐ Have a formal written memorandum of agreement
- ☒ Have an informal partnership
- ☒ Conduct joint planning activities
- ☒ Combine resources
- ☒ Have other collaborative arrangement(s) *(Please describe.)* The Dept. of Health funds community organizations such as the municipal RISAPA task forces and other Dept. of MHRH contractors to conduct tobacco prevention initiatives. Staff from both Departments collaborate on a variety of tobacco prevention activities. Recent collaboration has occurred in the areas of legislation, tobacco control strategic

planning, and tobacco disparity planning. The Depts. also are coordinating follow-up on public complaints regarding merchant violations of youth access and other tobacco-related statutes.

5. Please answer the following questions regarding the State's activities to enforce the youth access to tobacco law(s) in FFY 2009 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130(e)).

a. Which one of the following describes the enforcement of youth access to tobacco laws carried out in your State? (Check one category only.)

- ☒ Enforcement is conducted exclusively by local law enforcement agencies.
☐ Enforcement is conducted exclusively by State agency(ies).
☐ Enforcement is conducted by both local and State agencies.

b. The following items concern penalties imposed for violations of youth access to tobacco laws by LOCAL AND/OR STATE LAW ENFORCEMENT AGENCIES. Please fill in the number requested. If State law does not allow for an item, please mark "NA" (not applicable). If a response for an item is unknown, please mark "UNK." The chart must be filled in completely.

PENALTY	OWNERS	CLERKS	TOTAL
Number of <u>citations issued</u>	36	NA	36
Number of <u>finest assessed</u>	33	NA	33
Number of <u>permits/licenses suspended</u>	0		0
Number of <u>permits/licenses revoked</u>	0		0
Other (Please describe.)			

c. What additional activities are conducted in your State to support enforcement and compliance with State tobacco access law(s)? (Check all that apply.)

- ☒ Merchant education and/or training
☐ Incentives for merchants who are in compliance (e.g., reward and reminder)
☒ Community education regarding youth access laws
☒ Media use to publicize compliance inspection results
☒ Community mobilization to increase support for retailer compliance with youth access laws
☒ Other activities (Please list.) _____

Briefly describe all checked activities:

In Rhode Island, the community substance abuse prevention task forces created under the Rhode Island Substance Abuse Prevention Act of 1987 (RISAPA) remain the main vehicle through which Rhode Island implements environmental prevention strategies. In particular, RISAPA task forces have played an essential role in allowing the State to meet the requirements placed on it by the

Synar Amendment to the federal Public Health Act. Task forces' broad-based representation, legislative mandate and youth leadership development focus places them in a unique position to implement environmental strategies and to effect positive change within their communities.

In FY 2009, RISAPA task forces continued to advocate for police participation in the Synar Survey as well as for ongoing enforcement efforts. Task forces recruited youth volunteers who attempted to purchase tobacco products from retail vendors. In several communities, task forces distributed youth access and smoking prevention materials to retail tobacco vendors to increase compliance with the youth access to tobacco law and made public the results of both the annual local Synar Survey and ongoing enforcement efforts. In conjunction with local police departments, some task forces also sent congratulatory letters to vendors found to be in compliance with the youth access statute as a result of on-going compliance checks.

Several municipalities have successfully petitioned the state legislature for authorization to impose local license requirements for retailing tobacco products and to permit the municipality to impose sanctions consistent with state statute. Fines collected remain within the municipality; and, in some instances, are allocated for use by the police department and/or substance abuse prevention task force. In FY 2009, several additional municipalities began the process for obtaining legislative approval to permit local sanctions in addition to state sanctions. These efforts were still underway at the end of the fiscal year and will be resumed at the start of the next legislative session in January of 2010.

Statewide, task forces successfully advocated for municipal regulations and ordinances which limit tobacco use, particularly in settings where youth are present. Ordinances were enacted which prohibit tobacco use in municipally-owned buildings, on municipal athletic and recreational fields, and at municipally-sponsored events which involve underage youth. During FY 2009, task forces continued to monitor compliance with these ordinances. Task forces also have assisted schools in complying with the State law which prohibits smoking on school property by collaborating in developing and enforcing school substance abuse policies; and, in one instance, actually providing bathroom monitors.

During the FY 2009 state legislative session, the State's tobacco control coalition advocated for passage of several pieces of legislation intended to reduce youth access to tobacco and to improve health outcomes by reducing tobacco use by RI residents, especially youth. The coalition successfully advocated for passage of a bill which would prevent retailers found in violation of the State's youth access statute from transferring their licenses to a third party in order to avoid penalties or to obtain other licenses until all penalties are paid. The State legislature also passed legislation which requires insurance companies to pay

for the cost of smoking cessation medications. (Copies of the statutes are attached.)

During the FY 2005 legislative session, the Rhode Island General Assembly passed the Public Health and Workplace Safety Act (RI Gen Laws 23-20.10), making Rhode Island the seventh state in the nation to ban almost all indoor smoking.

The SSA and the RISAPA task forces continued to work collaboratively with the RI Dept. of Health, with municipal solicitors, and with other community partners to ensure that the new statute is enforced effectively. For example, task force coordinators have conducted follow-up visits to local establishments which have been identified as having violated the new statute. Coordinators and other task force volunteers have contacted owners of local establishments to urge compliance with the statute and have educated municipal solicitors about the statute and advocated for full enforcement. While not directly impacting youth access to tobacco products through illegal retail sales, the new statute will de facto reduce youth access to tobacco products by prohibiting their use in establishments covered by the statute.

In addition, the majority of task forces implemented campaigns to educate all community members about the risks associated with tobacco use, including the harmful effects of environmental tobacco smoke. These efforts, funded primarily through the RISAPA (MHRH-administered) and the Tobacco Control Program (Dept. of Health-administered) have served to decrease the incidence and prevalence of tobacco use statewide. Task forces also have provided resources to assist current tobacco users who wish to quit or offered referrals to state-sponsored cessation programs. Many of these cessation initiatives were done in collaboration with school student assistance counselors whose positions were funded (80%) through the SSA.

When implementing tobacco prevention activities, task forces are encouraged to emphasize that Rhode Island's youth access statute prohibits the "distribution" as well as the sale of tobacco products to youth, which includes adults either giving or purchasing tobacco products for underage individuals.

Synopses of task force-sponsored efforts relative to tobacco prevention for FY 2009 are summarized below:

Barrington

Coalition worked with the municipal police department to conduct the annual Synar Survey and ongoing enforcement activity. The coalition also has conducted a

survey of all 6-12th graders to assess past 30-day use of tobacco in order to develop appropriate prevention strategies.

The coalition is partnering with the administration of the local high school to reduce tobacco use on school property. The coalition purchased a smoke sensor for the restrooms with a remote alarm for the administrators. The coalition also coordinated an awareness activity on Kick Butts Day, including hosting a table outside the restrooms frequented by student smokers. SADD members made a display which depicted the chemicals found in cigarettes and gave gift certificates to students who turned in packs of cigarettes.

Coalition staff and a youth volunteer assisted in conducting the Synar Coverage Study.

Bristol

Coalition staff assisted in conducting the Synar Coverage Study.

Burrillville

The coalition assisted in conducting the Synar Coverage Study and sponsored a presentation at the high school which addressed addictive behavior patterns.

Central Falls

The coalition assisted in conducting the Synar Coverage Study.

Chariho

Coalition collaborated with the Teens as Teachers program, a peer-led student leadership group, to give classroom education on tobacco using the Life Skills curriculum to 175 5th grade students. On Kick Butts Day, the student leaders gave a presentation to 1,200 students at the high school and middle school on the dangers of tobacco use.

SWAT (Students Working Against Tobacco) gave presentations on the dangers of tobacco use to 50 students in the local Boys and Girls Clubs. SWAT also distributed tobacco prevention materials to 150-200 people at the local YMCA health fair and to about 150 through the Youth Health Fair.

Coventry

The coordinator of the coalition worked with the administration of the local middle and high schools to implement enforceable penalties for violations of the State's smoke-free schools statute. High school students found to be in possession of tobacco products are required to attend a smoking cessation and education program (NOT).

The coalition coordinator also visited every grocery store, gas station, pharmacy and liquor store in the Town to check for placement of statutorily-required signage and location of tobacco products behind counters.

Cranston

The coalition utilized funding from the Department of Health to promote a contest for middle school students to design warning messages for cigarette packs. The winning message was made into a billboard and placed at a busy intersection within the municipality.

Cumberland

The coalition received a grant from the Department of Health to enhance tobacco control activities. The coalition successfully advocated for passage of a municipal ordinance requiring no smoking signs at municipally-owned parks, playgrounds and sports facilities. The coalition utilized some of the grant money to purchase and put up the signs.

The coalition sponsored the performance "Dirt" for 11th and 12th graders which focused on tobacco and alcohol use. For Kick Butts Day, the coalition purchased poster which were displayed at a local middle school and the school was visited by members of the high school SADD group. The SADD students encouraged the younger students to sign no tobacco use pledge cards and to join SADD. The SADD group also conducted tobacco prevention activities at the high school.

The coalition assisted the police department in conducting the annual Synar Survey; distributed "Try To Stop" information cards to all municipal employees as part of World No Tobacco Day; and sponsored two afterschool smoking cessation groups at the high school.

East Greenwich

Coalition staff participated in the Synar Coverage Study.

East Providence

Coalition assisted the municipal police department in conducting the annual Synar Survey. Coalition staff participated in the Synar Coverage Study.

Exeter/West Greenwich

The coalition coordinated a peer-led program which focused on teaching refusal skills to 7th and 8th grade students. The program also addressed coping methods for students with family members who smoke. The peer leaders were selected athletes from the high school who have committed to a substance-free lifestyle. The athletes received training in social norms theory prior to conducting the sessions for younger students. One of the goals of the peer-led sessions was to encourage the younger students to sign pledges to refrain from using tobacco products.

The coalition coordinator also visited every grocery store, gas station, pharmacy and liquor store in the Town to check for placement of statutorily-required signage and location of tobacco products behind counters. The Coordinator assisted in conducting the Synar Coverage Study.

Foster/Glocester

The coalition sponsored a tobacco prevention poster contest. The winning poster was made into a billboard which was placed at a central intersection in the area. Monthly interactive tobacco awareness ads were placed in the local newsletter in the form of crossword puzzles for teens. Tobacco prevention materials were distributed at the middle school health fair and a parental perception of risk survey was administered at the health fair. Hoop for Health, a health promotion activity for adults and youth, the coalition, and the local Youth to Youth group, co-sponsored the Kick Butts Day campaign.

The coalition continues to maintain Memoranda of Understanding agreements with partnering community agencies who assist the coalition with tobacco education campaigns, particularly by including tobacco prevention messages in projects hosted by the partnering agencies. Partners include: Foster and Glocester Town government, local libraries, Town recreation departments, Fostering Arts,

the local Swamp Meadow Community Theatre, municipal police departments, regional school administration and local clergy.

The coalition offers resources through their website and also participated in the National Smoke Out campaign.

Jamestown

Coalition, in conjunction with municipal police and a state legislator targeted a convenience store known for permitting youth to steal cigars from an unattended counter. As a result of the coalition-led intervention, the store moved the cigars behind the counter. Also, the coalition continued their coordination of Kick Butts Day and World No Tobacco today with the local schools supported by funding from the Department of Health. The coalition purchased a Smart Board system to conduct a social marketing campaign targeting 7th and 8th grade students. The Student Assistance Counselor in the local school designed the program and presented it to the students.

The Coalition conducted a Health and Wellness Survey which included questions related to tobacco use. The Survey was administered in grades 6 through 8 and the results are in the process of being analyzed.

Johnston

The President of the local SADD group, who is a coalition member, was responsible for a tobacco prevention display at the local high school in November. Each morning for one week, a student made a public announcement regarding the display.

Lincoln

The coalition purchased tobacco prevention materials for all of the schools in the school district and sponsored a presentation at the local high school ("DIRT") which addressed choice and the consequences of poor choices, including tobacco use. These efforts were supported with funding from the Department of Health.

For World No Tobacco Day, each of the local schools participated in a project of their choosing and all of the students' artwork was displayed at the Town Hall for community viewing. Reach Out Now was offered to 4th grade students and

the Natural Helpers program was implemented at the high school. Sixteen high school students were trained in the program and will be implementing peer-led initiatives with younger students. The high school group, SADD/Lincoln Students Against Crime, plans and implements tobacco prevention efforts throughout the school year. This group is working on implementing a smoking cessation program at the high school.

The coalition continued to sponsor an adult smoking cessation program at the municipal library.

Coalition staff participated in the Synar Coverage Study.

Middletown

The coalition, through a Department of Health grant, worked collaboratively with the local school department to support the health education curriculum, which included a tobacco prevention component. The goal of the project was to reduce the risk factors associated with youth initiation and youth access to tobacco.

The coalition engaged Dr. Victor deNoble as a training consultant to facilitate two days of workshops in the local school system. Three presentations were made to the elementary school, two were made at the middle school, and one was made at the high school. An evening workshop was held for parents, teachers and other interested community members. Subsequently, Dr. deNoble returned to conduct a presentation to 4th grade students who are implementing cross-age tobacco prevention classes with middle school and elementary school students.

The coalition also offered presentations at two private schools and facilitated another evening workshop for parents, teachers and community members to help change adult norms with the goal being to decrease access for youth.

The second initiative was designed to complement a grant received by the local school department which allowed it to purchase access to Discovery Health Connection. One of the curricula on this website is “Get Real About Tobacco.” This program is now being implemented in the middle and high schools to function as a supplement to the advisor/advisee curriculum.

Coalition staff also participated in the Synar Coverage Study.

Narragansett

The coalition participated in Kick Butts Day activities at both the local high school and middle school. The coalition purchased anti-tobacco bookmarks that were distributed during lunch periods and participated in the annual middle school health fair where tobacco prevention material was distributed to over 300 students.

The coalition participated in World No Tobacco Day activities at the local high school, including the purchase of tobacco prevention materials.

Coalition staff participated in conducting the Synar Coverage Study.

Newport

The coalition, in conjunction with the municipal police department, conducted the Synar Coverage Study.

The coalition coordinator met with a local civic organization to assist them in complying with the State's smoke-free workplace statute.

The coalition members engaged in a variety of advocacy efforts, including sending correspondence to: the American Cancer Society Cancer Action Network, Tobacco-Free Kids, the Center for Substance Abuse Research in support of the Family Smoking Prevention and Tobacco Control Act, RI Grassroots Action for state legislation, Visiting Nurse Service's Kick Your Butts program, and others.

The coalition utilized grant funds from the Department of Health to purchase tobacco prevention-related material for the student assistance program at one of the local middle schools. These materials were utilized in small-group discussions addressing tobacco prevention.

The coalition participated in several health fairs at which tobacco prevention materials were distributed, including: Newport Police Department's Night Out Against Crime, Rodgers High School Health Fair, Martin Luther King Community Center, Women's Resource Center Community Fair, the Newport Housing Authority Health Fair and the Newport Elks Drug Awareness Program.

The coalition worked with Newport Hospital to secure funding for additional tobacco control activities.

North Kingstown

The coalition supported the efforts of the municipal police department in conducting the annual Synar Survey. The coalition participated in SPIRIT of Community Day held at the local high school which was attended by an estimated 500 residents. With funding provided by the Dept. of Health, demonstrations were held which addressed the dangerous chemicals contained in tobacco smoke. Information was shared regarding “e-cigarettes” and the new FDA regulation of tobacco. Letters of support for the FDA regulation were written by coalition members to the State’s congressional delegation.

The coalition worked collaboratively with school administrators, counselors and the school committee to strengthen the tobacco policy at the high school. The policy includes a 7-day suspension from a sport or activity plus missing at least one scheduled sanctioned event for the season for violations of the tobacco-free schools statute. In addition, a student found to be in violation of the statute will be required to meet with the student assistance counselor before being reinstated to the sport or activity.

Two tobacco prevention PSA’s, researched and produced by students in the high school’s Advanced Communications program in collaboration with the coalition, were shown in advisory period during the week of Kick Butts Day.

Pawtucket

The coalition testified on several tobacco prevention-related bills before the State General Assembly and increased vendor education efforts and ongoing tobacco compliance checks in the City. The coalition also sponsored an on-going tobacco education class at the Blackstone Academy Charter School. The coalition sponsored a number of events for Kick Butts Day and World No Tobacco Day. The coalition recruited and supervised volunteers in conducting the Synar Coverage Study.

Portsmouth

With funding provided by the Department of Health the coalition placed a display at the municipal library for the Great American Smoke Out and the World No Tobacco Day. The display featured tobacco prevention posters, a large tri-fold on the effects of tobacco products on the body, smoking cessation materials, children’s workbooks, and assorted pamphlets and brochures. The high school SADD group participated in a fundraiser for the library by designing an obstacle course for young children. Participants were given tobacco prevention materials.

At the high school, a contest was held to develop an ad for Kick Butts Day and World No Tobacco Day. The SADD group judged the contest. The posters were displayed at the school and the winning ad was featured in a large display in the local newspaper.

At the middle school, a poster contest was held for Kick Butts Day. The middle school SADD group judged this contest. The posters were displayed at the school and then affixed to grocery bags that were distributed by a local supermarket.

Student assistance counselors, who are also members of the coalition, conducted tobacco prevention activities at the local schools. At the high school, a tobacco questionnaire/survey was administered as part of a social norms campaign. At the middle school, the SADD students did a presentation on smoking refusal skills several times in the spring during lunch periods.

The SADD students at a local private academy conducted a 4 session prevention curriculum for 4th grade students which included a tobacco prevention component.

Providence

Tobacco prevention has been identified as a high priority in the strategic plan developed by the coalition. The coalition worked in collaboration with the municipal police License Enforcement unit to coordinate the annual Synar Survey, to develop and distribute materials for vendors and to provide outreach and education. The coalition recruited two youth to participate as underage decoys in the annual Survey. The coalition recruited and supervised volunteers in conducting the Synar Coverage Study.

In addition to the Survey, the coalition worked to coordinate tips and information received regarding violations of the State's smoke-free workplace statute, reports of vendors selling to underage children, and other violations of State tobacco-related statutes. The coalition shared this information with the License Enforcement unit which then utilized the information to design compliance checks and other targeted investigations for businesses that may be illegally selling or distributing tobacco products.

Scituate

The coalition purchased and distributed materials for Kick Butts Day and World No Tobacco Day. In addition, presentations were made to 5th grade students by members of the high school SADD group.

Smithfield

The coalition worked with the municipal police department in conducting the annual Synar Survey. As part of this effort, the coalition was able to recruit a new youth member whose area of interest is reducing underage access to tobacco by addressing retail availability.

South Kingstown

The coalition worked with the municipal police department in coordinating and conducting both the annual Synar Survey and ongoing enforcement efforts. Police provided status reports at monthly coalition meetings. All retail vendors in the Town are checked at least once per year.

Tiverton

The coalition utilized a Department of Health grant to continue its tobacco use prevention efforts by supporting a youth film about tobacco use. The film, written, directed and filmed by students at the local high school, was developed to provide peer led education for middle school students. The film is now used as part of the substance abuse prevention efforts at the local middle school. The project was supervised jointly by the coalition coordinator and the coordinator of the high school SADD group. Subsequently, the film was utilized in a presentation made by the Peer Helping Network (PHN) to parents called “Pass It Up.” The event was held at the request of the PHN students to inform parents of the issues and pressures being faced by today’s high school students. PHN members were assisted in developing the presentation by the coalition coordinator and the PHN advisor. PHN members will be trained to be spokespeople on tobacco control and underage drinking issues.

On Kick Butts Day, 5th grade students participated in Tar Wars which addresses the dangers associated with tobacco use and engages the students in developing anti-smoking messages. Project Alert, which includes a tobacco prevention component, was offered to all 6th-8th grade students.

The coalition assisted the local police department in conducting the annual Synar Survey and participated in the Synar Coverage Study.

Warren

The coalition utilized funding from the Department of Health to continue to sponsor the smoking awareness afterschool program at the local middle school. This group has received training in advocating for no-tobacco use, reaching out to other students, providing information and offering support to other students wanting to quit smoking.

Tobacco prevention material was distributed at all coalition-sponsored events; and the coalition supported the municipal police department in enforcing the local ordinance prohibiting tobacco use on municipal athletic fields.

The coalition also sponsored a presentation by Victor deNoble to 4th-8th grade students.

Warwick

The coalition successfully advocated for a new City ordinance which imposes stricter regulations, and increases enforcement of the State's smoke-free schools statute in local schools. The new ordinance imposes additional penalties and educational requirements on students found to be in possession of tobacco products. "The Butt Stops Here" posters and copies of the new ordinance were posted throughout the City and in 23 local schools. A total of 65 violators and their parents were required to attend a tobacco cessation class conducted by the coalition coordinator and a nurse who is a member of the coalition.

Coalition staff assisted in conducting the Synar Coverage Study.

Westerly

Coalition assisted in conducting the Synar Coverage Study. In conducting the study, the surveyors also documented product placement, minimum price compliance and presence of statutorily-required youth access signage. The coalition also assisted the municipal police department in conducting 3 sets of compliance checks.

The coalition sponsors Project TNT in the local middle school. Also, the coalition purchased and distributed tobacco prevention material at health fairs and three neighborhood forums

West Warwick

The coalition worked with the local high school to implement a social norms campaign, coordinated by the school's student assistance counselor. As part of the campaign, a 90 question survey was administered to 11th and 12th grade students. Data from the survey were analyzed by students in the high school's statistics class. The results, which indicated that the vast majority of students did not use tobacco, were put on oversized posters and placed in the school's cafeteria and corridors. Some of the posters also were placed at the middle school in an attempt to affect smoking initiation rates.

The coalition worked with the municipal police department in conducting the annual Synar Survey and on-going enforcement efforts, including follow-up with the establishments found to be in violation during the Survey.

Woonsocket

The coalition worked closely with the Department of Health on GIS mapping of retail tobacco outlets in targeted municipalities throughout the State. A PowerPoint presentation was developed from the results of the mapping project.

Coalition staff worked on statewide legislation that included the successful passage of a bill which would prevent an individual or corporation from obtaining additional tobacco licenses if fines on existing licenses had not been paid.

The coalition has a youth committee, Objective 8, which fosters leadership, resistance, and advocacy skills in tobacco and other drug prevention. These youth are educated in tobacco-related issues, including legislation, and have testified on pending legislation and have assisted coalition staff in educating legislators on tobacco-related issues.

The coalition conducted an education fair in collaboration with the Woonsocket Cancer Control Task Force for the Great American Smoke Out; held a statewide kickball tournament for Kick Butts Day, and held a statewide talent slam contest on World No Tobacco Day. The youth and coalition staff participated in the development of print and radio media. The coalition also developed and conducted afterschool workshops for elementary and middle school youth.

Coalition received tobacco cessation training at UMass Medical Center.

Coalition staff trained youth in conducting tobacco compliance checks, assisted the local police department in conducting the annual Synar survey and enforcement checks, and participated in the Synar Coverage Study.

- d. Are citations or warnings issued to retailers or clerks who sell tobacco to minors for inspections that are part of the Synar survey? ☐ Yes ☒ No

If “Yes” to 5d, please describe the State’s procedure for minimizing risk of bias to the survey results from retailers alerting each other to the presence of the survey teams:

SYNAR SURVEY METHODS AND RESULTS

The following questions pertain to the survey methodology and results of the Synar survey used by the State to meet the requirements of the Synar Regulation in FFY 2009 (see 42 U.S.C. 300x-26 and 45 C.F.R. 96.130).

6. Has the sampling methodology changed from the previous year? ☐ Yes ☒ No

The State is required to have an approved up-to-date description of the Synar sampling methodology on file with CSAP. Please submit a copy of your Synar Survey Sampling Methodology (Appendix B). If the sampling methodology changed from the previous reporting year, these changes must be reflected in the methodology submitted.

7. Please answer the following questions regarding the State’s annual random, unannounced inspections of tobacco outlets (*see 45 C.F.R. 96.130(d)(2)*).

- a. Did the State use the optional Synar Survey Estimation System (SSES) to analyze the Synar survey data? ☒ Yes ☐ No

If Yes, attach SSES summary tables 1, 2, 3, and 4 to the hard copy of the ASR and upload a copy of SSES tables 1-5 (in Excel) to WebBGAS. Then go to Question 8. If No, continue to Question 7b.

- b. Report the weighted and unweighted Retailer Violation Rate (RVR) estimates, and the standard error.

Unweighted RVR

Weighted RVR

Standard error (s.e.) of the (weighted) RVR

Fill in the blanks to calculate the right limit of the right-sided 95% confidence interval.

$$\frac{\text{RVR Estimate}}{\text{plus}} + \frac{(1.645 \times \text{Standard Error})}{(1.645 \text{ times})} = \text{Right Limit}$$

c. **Fill out Form 1 in Appendix A (Forms).** *(Required regardless of the sample design.)*

d. **How were the (weighted) RVR estimate and its standard error obtained?** *(Check the one that applies.)*

☐ Form 2 (Optional) in Appendix A (Forms) *(Attach completed Form 2.)*

☐ Other *(Please specify. Provide formulae and calculations or attach and explain the program code and output with description of all variable names.)*

e. **If stratification was used, did any strata in the sample contain only one outlet or cluster this year?** ☐ Yes ☐ No ☐ No stratification

If Yes, explain how this situation was dealt with in variance estimation.

f. **Was a cluster sample design used?** ☐ Yes ☐ No

If Yes, fill out and attach Form 3 in Appendix A (Forms 1–5), and answer the following question.

If No, go to Question 7g.

Were any certainty primary sampling units selected this year? ☐ Yes ☐ No

If Yes, explain how the certainty clusters were dealt with in variance estimation.

g. **Report the following outlet sample sizes for the Synar survey.**

	Sample Size
Effective sample size (sample size needed to meet the SAMHSA precision requirement assuming simple random sampling)	
Target sample size (the product of the effective sample size and the design effect)	
Original sample size (inflated sample size of the target sample to counter the sample attrition due to ineligibility and non-completion)	
Eligible sample size (number of outlets found to be eligible in the sample)	
Final sample size (number of eligible outlets in the sample for which an inspection was completed)	

h. **Fill out Form 4 in Appendix A (Forms 1–5).**

8. **Did the State's Synar survey use a list frame?** ☒ Yes ☐ No

If Yes, answer the following questions about its coverage.

- a. The calendar year of the latest frame coverage study: 2006
- b. Percent coverage from the latest frame coverage study: 91.2%
- c. Was a new study conducted in this reporting period? ☒ Yes ☐ No
If Yes, please complete Appendix D (List Sampling Frame Coverage Study) and submit it with the Annual Synar Report.
- d. The calendar year of the next coverage study planned: 2012

9. Has the Synar survey inspection protocol changed from the previous year?

☐ Yes ☒ No

The State is required to have an approved up-to-date description of the Synar inspection protocol on file with CSAP. Please submit a copy of your Synar Survey Inspection Protocol (Appendix C). If the inspection protocol changed from the previous year, these changes must be reflected in the protocol submitted.

a. Provide the inspection period: From 06/17/09 To 09/30/09
MM/DD/YY MM/DD/YY

b. Provide the number of youth inspectors used in the current inspection year:

48

NOTE: If the State uses SSES, please ensure that the number reported in 9b matches that reported in SSES Table 4, or explain any difference.

c. Fill out and attach Form 5 in Appendix A (Forms 1–5). (Not required if the State used the Synar Survey Estimation System (SSES) to analyze the Synar survey data.)

SECTION II: FFY 2010 (Intended Use):

Public law 42 U.S.C. 300x-26 of the Public Health Service Act and 45 C.F.R. 96.130 (e) (4, 5) require that the States provide information on future plans to ensure compliance with the Synar requirements to reduce youth tobacco access.

1. In the upcoming year, does the State anticipate any changes in the:

Synar sampling methodology ☐ Yes ☒ No

Synar inspection protocol ☐ Yes ☒ No

If changes are made in either the Synar sampling methodology or the Synar inspection protocol, the State is required to obtain approval from CSAP prior to implementation of the change and file an updated Synar Survey Sampling Methodology (Appendix B) or an updated Synar Survey Inspection Protocol (Appendix C), as appropriate.

2. Please describe the State's plans to maintain and/or reduce the target rate for Synar inspections to be completed in FFY 2010. Include a brief description of plans for law enforcement efforts to enforce youth tobacco access laws, activities that support law enforcement efforts to enforce youth tobacco access laws, and any anticipated changes in youth tobacco access legislation or regulation in the State.

The Department of Mental Health, Retardation & Hospitals again intends to provide guidance to the General Assembly regarding the effects of amendments made to the State's youth access statute which effectively removed license revocation as a sanction for repeated violations of the statute. Also, the Department plans to continue to educate the Police Chiefs' Association about Synar Amendment requirements and the effectiveness of ongoing enforcement in reducing underage access to tobacco products.

Despite an anticipated increased State budget deficit, for FFY 2010, the State intends to continue funding to municipal police departments to conduct the annual Synar survey and to conduct on-going enforcement efforts. The Department also will continue to offer workshops to law enforcement officers on protocols and best practices for conducting the annual survey and compliance checks. These workshops will be conducted in collaboration with the State's Police Training Academy located at the Community College of RI. Coordination of educational efforts will permit training of both current and future law enforcement officers.

Rhode Island plans to continue to sponsor tobacco prevention initiatives as a collaborative effort with the RI Department of Health and the State's Tobacco Coalition. For merchant education, the State will continue to post downloadable versions of the Retailer's Tobacco Guide and the statutorily-mandated signage at the MHRH website. Rhode Island will continue its strong partnership with the Department of Health and with the local municipal Substance Abuse Prevention Task Forces on vendor education, community education and promotion of prevention activities. The Departments of MHRH and Health also will continue to collaborate on legislative agendas, Tobacco Control Strategic Planning, and follow-up on complaints from the public regarding violations of the youth access statute and the smoke-free workplace and smoke-free schools statutes.

The Department of MHRH is represented on the advisory board established as part of the Department of Health's application to the CDC for tobacco control funding and participated

in the development of the City of Providence's proposal for a second comprehensive tobacco control grant. Both of these grant proposals, if funded, would enable RI to expand its efforts to reduce youth access to tobacco products.

3. Describe any challenges the State faces in complying with the Synar regulation. (Check all that apply.)

- ☒ Limited resources for law enforcement of youth access laws
- ☒ Limited resources for activities to support enforcement and compliance with youth tobacco access laws
- ☒ Limitations in the State youth tobacco access laws
- ☐ Limited public support for enforcement of youth tobacco access laws
- ☒ Limitations on completeness/accuracy of list of tobacco outlets
- ☐ Limited expertise in survey methodology
- ☐ Laws/regulations limiting the use of minors in tobacco inspections
- ☐ Difficulties recruiting youth inspectors
- ☐ Geographic, demographic, and logistical considerations in conducting inspections
- ☐ Cultural factors (e.g., language barriers, young people purchasing for their elders)
- ☐ Issues regarding sources of tobacco under tribal jurisdiction
- ☐ Other challenges (*Please list.*) _____

Briefly describe all checked challenges and propose a plan for each, or indicate the State's need for TA related to each relevant challenge.

3. There are four main challenges Rhode Island faces in complying with the Synar regulation:

First, due to increasing state budget deficits, the Department of Mental Health, Retardation & Hospitals has experienced decreased allocations for youth access enforcement activities for three of the past four budget cycles. During FY 2009, the State was forced to delay payments to vendors for a significant period of time and also delayed processing contracts for SFY 2010. In addition, municipal budget deficits resulted in significant staffing reductions within the local police departments. Because of these events, a higher than average number of municipal police departments declined to participate in the annual Synar Survey.

To counter future reimbursement and contracting difficulties, the Department will focus on expanding the strong partnerships it has established with the Department of Health's funded community organizations, local task forces and local police department to ensure continuation of enforcement efforts at the municipal level.

Second, as previously stated, the State's youth access to tobacco statute was amended during the 2005 state legislative session which effectively removed license revocation as a sanction for repeat violations of the statute. The current State Strategic Plan for Tobacco Control includes recommendations for reintroduction of the possibility of

license revocation for repeat violations in proposed amendments to the current youth access statute. Legislation was again introduced in FY 2009 to restore the original statutory language. Although the effort proved unsuccessful, members of the Tobacco Control Coalition feel that the legislation which did pass will serve to reduce youth access by preventing the transfer of licenses until all fines and penalties have been paid.

Third, ensuring the accuracy of the tobacco outlets list will continue to be a labor intensive challenge for the Department. The plan for maintaining an accurate list of Tobacco Vendor Licenses is as follows: Rhode Island retail tobacco vendor licenses are obtained through the Division of Taxation. Due to staff shortages at the Division of Taxation, Rhode Island's list of retail tobacco vendors is not completely current. Therefore, the Department of Mental Health, Retardation & Hospitals has been maintaining a separate database which is subsequently cross-referenced with the Division of Taxation's list for accuracy. Five years ago, the State legislature included a provision in the State's budget which required all retail tobacco vendors to pay an annual \$25.00 renewal fee for a retail tobacco vendor license. Implementation of the annual fee provision began in the summer of 2006. The stated purpose for imposing this fee was to generate income and to help improve the accuracy of the retail tobacco licensed vendors' list maintained by the Division of Taxation. Continued staff shortages at the Division of Taxation have prevented the Division from fully enforcing the new requirement. The difficulty encountered by the Division of Taxation in fully enforcing the annual license renewal requirement means that the list received from the Division of Taxation will continue to be subjected to the same extensive clean-up process conducted by MHRH and Taxation staff to improve the accuracy of the list prior to the conduct of random sampling for the annual Synar survey.

The high number of retail tobacco license holders going out of business in FY 2009, especially near the close of the fiscal year, also made it more difficult to ensure the accuracy of the license list.

Another issue that has become more problematic in recent years with respect to maintaining the accuracy of the retail outlet list has been the ability of retail tobacco license holders to use a home address rather than the retail outlet address on the license application. Because RI statute requires a separate tobacco license for each outlet site, the license application requires submission of both the physical address of the outlet and a mailing address if different from the outlet address. Staffing shortages at Taxation have prevented frequent inspections of the actual outlets to detect violations and this has made both the list cleaning process and enforcement efforts more time-consuming.

Finally, while local police departments report overall higher levels of compliance with the State's tobacco control statutes, there appears to be a small group of repeat violators who have taken advantage of certain provisions in the statutes to avoid significant sanctions. These violators engage in such behaviors as selling only to underage youths known to the store owner; selling unstamped cigarettes at a lower cost which serves to

attract underage buyers; and if cited for violations, immediately transferring licenses to other family members or associates which hinders both prosecution and the imposition of graduated sanctions. In order to counter these practices more effectively, the municipal police departments will be coordinating their enforcement efforts with inspectors from the Division of Taxation and citations will be issued simultaneously for any alleged violations. During FFY 2010, the Department of MHRH will work with the Division of Taxation, the courts, and the municipal police departments to enforce the recently-passed statute which prohibits the transfer of all licenses until all violations have been adjudicated.

APPENDIX A: FORMS 1–5

FORM 1 (Required for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar Survey data)

Complete Form 1 to report sampling frame and sample information and to calculate the unweighted retailer violation rate using results from the current year's Synar survey inspections.

Instructions for Completing Form 1: In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2010). Provide the remaining information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: *If stratification was used:*

1(a) Sequentially number each row.

1(b) Write in the name of each stratum. All strata in the State must be listed.

If no stratification was used:

1(a) Leave blank.

1(b) Write “State” in the first row (indicates that the whole state is a single stratum).

Note for unstratified samples: for columns 2-5, wherever the instruction refers to “each stratum,” report the specified information for the State as a whole.

Column 2: 2(a) Report the number of over-the-counter (OTC) outlets in the sampling frame in each stratum.
2(b) Report the number of vending machine (VM) outlets in the sampling frame in each stratum.
2(c) Report the combined total of OTC and VM outlets in the sampling frame in each stratum.

Column 3: 3(a) Report the estimated number of eligible OTC outlets in the OTC outlet population in each stratum.
3(b) Report the estimated number of eligible VM outlets in the VM outlet population in each stratum.
3(c) Report the combined total estimated number of eligible OTC and VM outlets in the total outlet population in each stratum.

The estimates for Column 3 can be obtained from the Synar survey sample as the weighted sum of eligible outlets by outlet type.

Column 4: 4(a) Report the number of eligible OTC outlets for which an inspection was completed, for each stratum.
4(b) Report the numbers of eligible VM outlets for which an inspection was completed, for each stratum.
4(c) Report the combined total of eligible OTC and VM outlets for which an inspection was completed, for each stratum.

Column 5: 5(a) Report the number of OTC outlets found in violation of the law as a result of completed inspections, for each stratum.
5(b) Report the number of VM outlets found in violation of the law as a result of completed inspections, for each stratum.
5(c) Report the combined total of OTC and VM outlets found in violation of the law as a result of completed inspections, for each stratum.

Totals: For each sub-column (a-c) in Columns 2-5, provide totals for the State as a whole in the last row of the table. These numbers will be the sum of the numbers in each row for the respective column.

FORM 2 (Optional)**Appropriate for stratified simple or systematic random sampling designs.**

Complete Form 2 to calculate the weighted RVR. This table (in Excel form) is designed to calculate the weighted RVR for stratified simple or systematic random sampling designs, accounting for ineligible outlets and non-complete inspections encountered during the annual Synar survey.

Instructions for Completing Form 2: In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2010).

- Column 1: Write in the name of each stratum into which the sample was divided. These should match the strata reported in Column 1(b) of Form 1.
- Column 2: Report the number of outlets in the sampling frame in each stratum. These numbers should match the numbers reported for the respective strata in Column 2(c) of Form 1.
- Column 3: Report the original sample size (the number of outlets originally selected, including substitutes or replacements) for each stratum.
- Column 4: Report the number of sample outlets in each stratum that were found to be eligible during the inspections. Note that this number must be less than or equal to the number reported in Column 3 for the respective strata.
- Column 5: Report the number of eligible outlets in each stratum for which an inspection was completed. Note that this number must be less than or equal to the number reported in Column 4. These numbers should match the numbers reported in Column 4(c) of Form 1 for the respective strata.
- Column 6: Report the number of eligible outlets inspected in each stratum that were found in violation. These numbers should match the numbers reported in Column 5(c) of Form 1 for the stratum.
- Column 7: Form 2 (in Excel form) will automatically calculate the stratum RVR for each stratum in this column. This is calculated by dividing the number of inspected eligible outlets found in violation (Column 6) by the number of inspected eligible outlets (Column 5). The State unweighted RVR will be shown in the Total row of Column 7.
- Column 8: Form 2 (in Excel form) will automatically calculate the estimated number of eligible outlets in the population for each stratum. This calculation is made by multiplying the number of outlets in the sampling frame (Column 2) times the number of eligible outlets (Column 4) divided by the original sample size (Column 3). Note that these numbers will be less than or equal to the numbers in Column 2.
- Column 9: Form 2 (in Excel form) will automatically calculate the relative stratum weight by dividing the estimated number of eligible outlets in the population for each stratum in Column 8 by the Total of the values in Column 8.
- Column 10: Form 2 (in Excel form) will automatically calculate each stratum's contribution to the State weighted RVR by multiplying the stratum RVR (Column 7) by the relative stratum weight (Column 9). The weighted RVR for the State will be shown in the Total row of Column 10.
- Column 11: Form 2 (in Excel form) automatically calculates the standard error of each stratum's RVR (Column 7). The standard error for the State weighted RVR will be shown in the Total row of Column 11.
- TOTAL:** For Columns 2-6, Form 2 (in Excel form) provides totals for the State as a whole in the last row of the table. For Columns 7-11, it calculates the respective statistic for the State as a whole.

FORM 2 (Optional) Appropriate for stratified simple or systematic random sampling designs.

Calculation of Weighted Retailer Violation Rate										
										State: _____
										FFY: 2010
(1) Stratum Name	(2) N Number of Outlets in Sampling Frame	(3) n Original Sample Size	(4) n1 Number of Sample Outlets Found Eligible	(5) n2 Number of Outlets Inspected	(6) x Number of Outlets Found in Violation	(7) p=x/n2 Stratum Retailer Violation Rate	(8) N'=N(n1/n) Estimated Number of Eligible Outlets in Population	(9) w=N'/Total Column 8 Relative Stratum Weight	(10) pw Stratum Contribution to State Weighted RVR	(11) s.e. Standard Error of Stratum RVR
Total										

- N - number of outlets in sampling frame
- n - original sample size (number of outlets in the original sample)
- n1 - number of sample outlets that were found to be eligible
- n2 - number of eligible outlets that were inspected
- x - number of inspected outlets that were found in violation
- p - stratum retailer violation rate ($p=x/n2$)
- N' - estimated number of eligible outlets in population ($N'=N*n1/n$)
- w - relative stratum weight ($w=N'/\text{Total Column 8}$)
- pw - stratum contribution to the weighted retailer violation rate
- s.e. - standard error of the stratum RVR

FORM 3 (Required when a cluster design is used for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar survey data.)

Complete Form 3 to report information about primary sampling units when a cluster design was used for the Synar survey.

Instructions for Completing Form 3: In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2010).

Provide information by stratum if stratification was used. Make copies of the form if additional rows are needed to list all the strata.

Column 1: Sequentially number each row.

Column 2: *If stratification was used:* Write in the name of stratum. All strata in the State must be listed.

If no stratification was used: Write “State” in the first row to indicate that the whole state constitutes a single stratum.

Column 3: Report the number of primary sampling units (PSUs) (i.e., first-stage clusters) created for each stratum.

Column 4: Report the number of PSUs selected in the original sample for each stratum.

Column 5: Report the number of PSUs in the final sample for each stratum.

TOTALS: For Columns 3-5, provide totals for the State as a whole in the last row of the table.

Summary of Clusters Created and Sampled				
State: _____				
FFY: 2010				
(1) Row #	(2) Stratum Name	(3) Number of PSUs Created	(4) Number of PSUs Selected	(5) Number of PSUs in the Final Sample
Total				

FORM 4 (Required for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar Survey data)

Complete Form 4 to provide detailed tallies of ineligible sample outlets by reasons for ineligibility and detailed tallies of eligible sample outlets with noncomplete inspections by reasons for noncompletion.

Instructions for Completing Form 4:

In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2010).

Column 1(a): Enter the number of sample outlets found ineligible for inspection by reason for ineligibility. Provide the total number of ineligible outlets in the row marked **“Total.”**

Column 2(a): Enter the number of eligible sample outlets with noncomplete inspections by reason for noncompletion. Provide the total number of eligible outlets with noncomplete inspections in the row marked **“Total.”**

Inspection Tallies by Reason of Ineligibility or Noncompletion			
		State: _____	
		FFY: 2010	
(1) INELIGIBLE		(2) ELIGIBLE	
Reason for Ineligibility	(a) Counts	Reason for Noncompletion	(a) Counts
Out of business		In operation but closed at time of visit	
Does not sell tobacco products		Unsafe to access	
Inaccessible by youth		Presence of police	
Private club or private residence		Youth inspector knows salesperson	
Temporary closure		Moved to new location	
Unlocatable		Drive thru only/youth inspector has no driver's license	
Wholesale only/Carton sale only		Tobacco out of stock	
Vending machine broken		Run out of time	
Duplicate		Other noncompletion reason(s) (<i>Describe.</i>)	
Other ineligibility reason(s) (<i>Describe.</i>)			
Total		Total	

FORM 5 (Required for all States not using the Synar Survey Estimation System (SSES) to analyze the Synar survey data)

Complete Form 5 to show the distribution of outlet inspection results by age and gender of the youth inspectors.

Instructions for Completing Form 5: In the top right hand corner of the form, provide the State name and reporting Federal fiscal year (FFY 2010).

Column 1: Enter the number of attempted buys by youth inspector age and gender.

Column 2: Enter the number of successful buys by youth inspector age and gender.

If the inspectors are age eligible but the gender of the inspector is unknown, include those inspections in the "OTHER" row. Calculate subtotals for males and females in rows marked SUBTOTALS. Sum SUBTOTALS for male, female, and OTHER and record in the bottom row marked TOTAL. Verify that that the TOTAL of attempted buys and successful buys equal the total for Column 4(c) and Column 5(c), respectively, on Form 1. If the totals do not match, please explain any discrepancies.

Synar Survey Inspector Characteristics		
		State: _____
		FFY: 2010
	(1) Attempted Buys	(2) Successful Buys
Male		
15 years		
16 years		
17 years		
18 years		
Male Subtotal		
Female		
15 years		
16 years		
17 years		
18 years		
Female Subtotal		
Other		
Total		

APPENDICES B & C: FORMS

Instructions

Appendix B (Sampling Design) and Appendix C (Inspection Protocol) are to reflect the State's CSAP-approved sampling design and inspection protocol. These appendices, therefore, should generally describe the design and protocol and are not to be modified with year-specific information. Please note that any changes to either appendix must receive CSAP's advance written approval. To facilitate the State's completion of this section, simply "cut and paste" the previously approved sampling design (Appendix B) and inspection protocol (Appendix C).

APPENDIX B: SYNAR SURVEY SAMPLING METHODOLOGY

State: RI
FFY: 2010

1. What type of sampling frame is used?

- ☒ List frame (*Go to Question 2.*)
☐ Area frame (*Go to Question 3.*)
☐ List-assisted area frame (*Go to Question 2.*)

2. List all sources of the list frame. Indicate the type of source from the list below. Provide a brief description of the frame source. Explain how the lists are updated (method), including how new outlets are identified and added to the frame. In addition, explain how often the lists are updated (cycle). (*After completing this question, go to Question 4.*)

Use the corresponding number to indicate Type of Source in the table below.

- | | |
|---|--|
| 1 – Statewide commercial business list | 4 – Statewide retail license/permit list |
| 2 – Local commercial business list | 5 – Statewide liquor license/permit list |
| 3 – Statewide tobacco license/permit list | 6 – Other |

Name of Frame Source	Type of Source	Description	Updating Method and Cycle
statewide tobacco license list	3	RI Div. of Taxation list. Licenses are renewed annually for a \$25 fee	The list is updated annually. Taxation sends out renewal notices and generates list based on new licenses and renewals during SFY. List is updated based on mailings and reconciliation with previous year's list and survey responses

3. If an area frame is used, describe how area sampling units are defined and formed.

- a. Is any area left out in the formation of the area frame? ☐ Yes ☐ No

If Yes, what percentage of the State's population is not covered by the area frame?
_____ %

4. Federal regulation requires that vending machines be inspected as part of the Synar survey. Are vending machines included in the Synar survey? ☒ Yes ☐ No

If No, please indicate the reason they are not included in the Synar survey.

- ☐ State law bans vending machines
☐ State law bans vending machines from locations accessible to youth

- ☐ State has SAMHSA approval to exempt vending machines from the survey
- ☐ Other (*Please describe.*) _____

5. Which category below best describes the sample design? (Check only one.)

- ☐ **Census** (*STOP HERE: Appendix B is complete.*)

Unstratified State-wide sample:

- ☒ Simple random sample (*Go to Question 9.*)
- ☐ Systematic random sample (*Go to Question 6.*)
- ☐ Single-stage cluster sample (*Go to Question 8.*)
- ☐ Multi-stage cluster sample (*Go to Question 8.*)

Stratified sample:

- ☐ Simple random sample (*Go to Question 7.*)
- ☐ Systematic random sample (*Go to Question 6.*)
- ☐ Single-stage cluster sample (*Go to Question 7.*)
- ☐ Multi-stage cluster sample (*Go to Question 7.*)
- ☐ **Other** (*Please describe and go to Question 9.*) _____

6. Describe the systematic sampling methods. (After completing Question 6, go to Question 7 if stratification is used. Otherwise go to Question 9.)

7. Provide the following information about stratification.

a. Provide a full description of the strata that are created.

b. Is clustering used within the stratified sample?

- ☐ **Yes** (*Go to Question 8.*)
- ☐ **No** (*Go to Question 9.*)

8. Provide the following information about clustering.

a. Provide a full description of how clusters are formed. (If multi-stage clusters are used, give definitions of clusters at each stage.)

b. Specify the sampling method (simple random, systematic, or probability proportional to size sampling) for each stage of sampling and describe how the method(s) is (are) implemented.

9. Provide the formulae for determining the effective, target, and original outlet sample sizes.

The effective sample size (n) is calculated to achieve a 95% confidence interval +3%:
 $n = 1/[se^2/(p*q)) + (1/N)]$ where

n = sample size

N = sampling frame size, or universe of outlets statewide

p = proportion of unsuccessful buys (.80)

q = proportion of successful buys (.20)

z = z-score for level of confidence of .95 (1.645)

CI = confidence interval + range (.03)

The target sample size is calculated as the effective sample size x the design effect (which is 1)

The original outlet sample size is calculated as the target sample size x (1 + the overdraw factor). The overdraw factor for this FFY is .50.

APPENDIX C: SYNAR SURVEY INSPECTION PROTOCOL

State: RI
FFY: 2010

Note: Upload to WebBGAS a copy of the Synar inspection form under the heading “Synar Inspection Form” and a copy of the protocol used to train inspection teams on conducting and reporting the results of the Synar inspections under the heading “Synar Inspection Protocol.”

1. How does the State Synar survey protocol address the following?

a. Consummated buy attempts?

- | | |
|--|--|
| <input checked="" type="checkbox"/> Required | <input type="checkbox"/> Not Permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

b. Youth inspectors to carry ID?

- | | |
|--|--|
| <input type="checkbox"/> Required | <input checked="" type="checkbox"/> Not Permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

c. Adult inspectors to enter the outlet?

- | | |
|--|---|
| <input type="checkbox"/> Required | <input type="checkbox"/> Not Permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input checked="" type="checkbox"/> Not specified in protocol |

d. Youth inspectors to be compensated?

- | | |
|--|--|
| <input checked="" type="checkbox"/> Required | <input type="checkbox"/> Not Permitted |
| <input type="checkbox"/> Permitted under specified circumstances | <input type="checkbox"/> Not specified in protocol |

2. Identify the agency(ies) or entity(ies) that actually conduct the random, unannounced Synar inspections of tobacco outlets. (Check all that apply.)

- ☒ Law enforcement agency(ies)
☐ State or local government agency(ies) other than law enforcement
☐ Private contractor(s)
☐ Other

List the agency name(s): _____

3. Are Synar inspections combined with law enforcement efforts (i.e., do law enforcement issue warnings or citations to retailers found in violation of the law at the time of the inspection)?

- ☐ Always ☐ Usually ☐ Sometimes ☐ Rarely ☒ Never

4. Describe the methods used to recruit, select, and train youth inspectors and adult supervisors.

Recruitment and training of youths is primarily done by each police department with assistance from local RISAPA task forces. MHRH, in conjunction with the RI Municipal Police Academy, trains police department personnel annually on the survey protocol which is the instrument used by the police departments to train the youth prior to conducting the survey. MHRH refers municipal police departments to local RISAP task forces for assistance in recruiting the youth surveyors.

5. Are there specific legal or procedural requirements instituted by the State to address the issue of youth inspectors' immunity when conducting inspections?

a. Legal ☒ **Yes** ☐ **No** (*If Yes, please describe.*)

RI General Laws Title 11 Criminal Offenses Chapter 11-9 Children (11-9-13.6)

Underage individuals, acting as agents for the department of mental health, retardation and hospitals and with the written permission of a parent or guardian, may purchase, with impunity from prosecution, tobacco products for the purposes of law enforcement or government research involving monitoring compliance with this chapter, provided that the underage individuals are supervised by an adult law enforcement official. Any individual participating in an unannounced compliance check of over the counter or vending machine sales, must state his or her accurate age if asked by the sales representative of the retail establishment being checked.

b. Procedural ☒ **Yes** ☐ **No** (*If Yes, please describe.*)

Synar Survey Protocol

LOGISTICS

- ☐ The survey is targeted to be completed in one month.
- ☐ The survey is to be conducted during after school hours or weekends.
- ☐ Survey only those outlets for which you receive a survey form. If the outlet is closed, no longer s
- ☐ Survey teams should consist of one police officer and one surveyor if male or two surveyors if fe

SURVEYORS

- ☐ Surveyors should be between the age of 15 and 16, avoid those youth that appear older than or yo
- ☐ Hold an age verification panel, using the Age Rating Sheet; by having 3 to 4 people rate the appar
- ☐ There should be approximately 50% female surveyors and 50% male surveyors.
- ☐ Surveyors should dress as they would normally; avoiding makeup and clothing that would make t
- ☐ All departments will be required to have money for the purchase of the cigarettes during the surve

☐ Surveyors must be paid minimum wage per hour; the request for reimbursement must be made on an invoice form along with the request for reimbursement of the officers and the buy money spent.

PROCEDURES

- ☐ Each participating law enforcement official will receive the survey forms for the sites for which s
- ☐ Due to the guidelines for the survey process it is critical that you only survey sites for which you
- ☐ Police officers are to drive surveyors to the selected site in an unmarked police vehicle.
- ☐ Police officers should park cars in a location where the surveyor can enter and exit the car and the
- ☐ The youth will enter the establishment and attempt to make a purchase if:
- ☐ There are no police officers who are not part of the survey team present in the establishment.
- ☐ The youth, upon entering the establishment determines that she or he does not know anyone prese
- ☐ If the situation does not appear to be dangerous.
- ☐ Packs to be requested are: Marlboro's, Camel's or Newport's.
- ☐ Surveyors are to leave their ID in the vehicle with the officer.
- ☐ If asked their age the surveyor is to be truthful and if asked for ID they are to say they don't have
- ☐ If a purchase is made the surveyor is to pay for the product and leave the establishment quickly.
- ☐ Upon completion of the survey the youth surveyor is to complete the report form prior to moving

6. Are there specific legal or procedural requirements instituted by the State to address the issue of the safety of youth inspectors during all aspects of the Synar inspection process?

a. Legal ☐ Yes ☒ No (If Yes, please describe.)

b. Procedural ☒ Yes ☐ No (If Yes, please describe.)

See survey protocol as detailed for question 5

7. Are there any other legal or procedural requirements the State has regarding how inspections are to be conducted (e.g., age of youth inspector, time of inspections, training that must occur)?

a. Legal ☒ Yes ☐ No (If Yes, please describe.)

RI Gen Laws Title 11 Criminal Offenses Chapter 11-9 Children

§ 11-9-13.6 Duties of the department of mental health, retardation and hospitals. – The department of mental health, retardation and hospitals shall:

- (1) Coordinate and promote the enforcement of the provisions of this chapter and serve as the primary liaison from this department to other state or local agencies, departments, or divisions on issues pertaining to stopping children's access to tobacco.
- (2) Provide retail tobacco products dealers signs concerning the prohibition of sales to children under eighteen (18) years of age. The signs, conforming to the requirements of this chapter, shall be sold at cost. This sign, or an exact duplicate of it made privately, shall be displayed in all locations where tobacco products are sold.
- (3) Investigate concurrently with other state and local official's violations of this chapter.
- (4) Utilize unannounced statewide compliance checks of tobacco product sales including retail tobacco over-the-counter sales, mail order sales initiated via mail, facsimile, telephone or internet ordering or other types of electronic communications, and tobacco vending machine sales as part of investigating compliance with the provisions of this chapter. Underage individuals, acting as agents for the department of mental health, retardation and hospitals and with the written permission of a parent or guardian, may purchase, with impunity from prosecution, tobacco products for the purposes of law enforcement or government research involving monitoring compliance with this chapter, provided that the underage individuals are supervised by an adult law enforcement official. Any individual participating in an unannounced compliance check of over-the-counter or vending machine sales, must state his or her accurate age if asked by the sales representative of the retail establishment being checked.
- (ii) In fulfilling the requirement of unannounced statewide compliance checks, the department of mental health, retardation and hospitals shall maintain complete records of the unannounced compliance checks, detailing, at least, the date of the compliance check, the name and address of the retail establishment checked or the mail order company, the results of the compliance check (sale/no sale), whether the sale was made as an over-the-counter sale, a mail order purchase or a tobacco vending machine sale, and if a citation was issued for any violation found. The records shall be subject to public disclosure. Further, the department of mental health, retardation and hospitals shall report to the owner of each retail establishment checked or mail order company, the results of any compliance check (sale/no sale) whether the sale was made as an over-the-counter sale, a mail order purchase or a tobacco vending machine sale, and if a citation was issued for any violation found.
- (5) Seek enforcement, concurrently with other state and local officials, of the penalties as detailed in this chapter.

(6) Develop and disseminate community health education information and materials relating to this chapter.

b. Procedural ☒ **Yes** ☐ **No** *(If Yes, please describe.)*

Please see response for Question 5

APPENDIX D: LIST SAMPLING FRAME COVERAGE STUDY

(LIST FRAME ONLY)

State: RI

FFY: 2010

1. Calendar year of the coverage study: 2006

2. Percent coverage found: 91.2%

(Provide calculation of the percent coverage.)

As calculated below:

of outlets matched with the list frame (b): 115

of outlets found by the coverage study (n): 126

of outlets canvassed but not found in the list frame (missing): 11

Coverage rate ($100 \times b/n$): 91.2%

3. Provide a description of the coverage study methods and results.

Step 1: The Department of Mental Health, Retardation and Hospitals received the list of all licensed tobacco vendors from the Department of Taxation.

Step 2: Department staff revised and updated the list. (See below for details).

- 1) Obtained the list from taxation. Added “VEND” and “OTC” in column labeled “Type” and merged the two categories.
- 2) Added columns for location address, mail address, location name, mail name, and took relevant data from other fields and merged them into those columns.
- 3) Standardized addresses, and corrected those that were invalid through telephone calls, mailings, and site visits. Also searched for and removed duplicates.
- 4) Compared list to last year’s sites surveyed. Sites found to be “out of business” or “no longer selling tobacco” were removed from the list.

Step 3: Created a listing of sites in an Excel spreadsheet which included Establishment Name, Address, City, State, and Zip Code. Note: In 2005 a law went into effect prohibiting smoking inside of restaurants and bars. Therefore, vending machines are no longer utilized. The total number OTC tobacco outlets in this list were 1630.

Step 4: The list of OTC tobacco outlets was imported into Maptitude Software and divided by census tracts based on address and zip code. Census tracts that contained less than 20 outlets were combined logically with neighboring geographic tracts to fall within the expected average group size. Expected average group size is between 7 and 20 outlets. All census tract groups fall within this range.

Step 5: Used SPSS simple random sample function to randomly sample a total of 10 areas

which contained a total of 137 outlets. Printed list of all outlets in this sample for later coverage validation. Post-survey note: When matching the sites surveyed with the list of randomly selected sites, it was determined that two sites on the sampled list were duplicates. Specifically, it was determined by phone conversation with the owner of the first site that he purchased a second tobacco license and called the business by a different name. For the second duplicate, it was determined by phone conversation with the Division of Taxation that there was only one license for that location, but it was listed with two different names on the Division of Taxation licensing list. Therefore, a total of 2 records were removed from the original sample list, resulting in a sample total of 135 sites.

Step 6: Printed street maps of all the boundaries of each census tract or tract group from the Maptitude software.

Step 7: Tobacco enforcement coordinator distributed the census maps to the field workers and presented the protocols for completing the coverage study. Field workers were instructed to canvass each street covered within the census tracts they were given.

Step 8: Field workers went out in pairs and thoroughly canvassed their assigned tracts. Field workers listed all outlets found in each census area, and indicated whether or not the outlet sold tobacco products and was accessible to youth under 18.

Step 9: A total of 126 sites were canvassed. The following spreadsheet contains the field workers' canvassing data:

*The asterisked sites (total of 11) were found within the census tracts while canvassing, but were not included in the original sample frame. The remaining 115 sites were matched with records in the sample frame.

Note:

The tobacco enforcement coordinator and data analyst compared the field workers' lists with the original sample frame list of 135 sites.

An additional ten sites were identified during canvassing as being "Out of business", and were also found on the original sample frame list.

An additional four sites were identified during canvassing as operational but "No longer selling tobacco", and were also found on the original sample frame list.

Finally, there were six instances of procedural error, where the canvassers did not traverse the entire distance of the census tract, and therefore missed outlets that should have been included in the survey.

Step 10 (Results):

of Outlets matched with the list frame (b): 115

of Outlets found by the coverage study (n): 126

of Outlets canvassed but not found in the list frame (missing): 11

Coverage rate (100 x b/n): 91.2%
